CORNELL UNIVERSITY

CONTINUITY OF OPERATIONS PLAN

Cornell University
Office of Emergency Management
v3.0

To report an EMERGENCY call 911

To report a campus emergency to Cornell Police using a cellular phone call (607)255-1111.

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1. Introduction

Cornell University understands that emergencies have the potential to disrupt operations and jeopardize the safety of faculty, staff, and students. Emergency planning, including continuity of operations (COOP), is critical to maintaining research, teaching, and service during disruptions.

This Continuity of Operations Plan is designed to help Cornell University mitigate the impacts of an emergency. The all-hazards approach to continuity planning allows for the continuation of essential services at some capacity regardless of the type of disruption.

This Continuity of Operations Plan is only one component of the campus's Emergency Management Program and works in conjunction with the University's Prevention/Mitigation, Preparedness, and Emergency Operations Plans. More information can be found at www.emergency.cornell.edu.

Purpose

This Continuity of Operations Plan provides the framework by which Cornell University will mitigate impacts and restore essential services and operations at the University, College, or Division level. This plan identifies the overall concepts to manage University continuity objectives, identify operational priorities, clarify continuity of leadership, and activate processes and procedures for use during continuity operations.

Applicability and Scope

This Continuity of Operations Plan applies to all Cornell University Colleges and Divisions, except Weill Cornell Medical College and Qatar operations. This plan describes actions that will be taken to activate continuity operations within 12 hours of a significant disruption, and sustain continuity operations for up to 30 days.

- This plan does not apply to short-term disruptions of service, including minor technology system or power outages or any other scenarios where essential services can be readily restored.

This plan is maintained by the Cornell University Office of Emergency Management. For further information contact oem@cornell.edu.

2. Objectives

The objective of the Continuity of Operations Plan is to apply University and community resources to facilitate execution of academic, research, and business operations during and after an emergency or disruption.

3. Concept of Operations

Cornell University will strive to rapidly and effectively manage campus emergency incidents through clear leadership, effective management, and timely response. Management of emergencies and continuity operations at Cornell University will utilize best practices from the National Incident Management System (NIMS) and the National Disaster Recovery Framework.

4. Incident Management Personnel

Cornell University Office of Emergency Management manages the ongoing development, improvement planning, and maintenance of the University Emergency Management Plans, including the Emergency Operations Plan (EOP) and the Continuity of Operations Plan (COOP). Throughout the lifecycle of disruptive incidents, the Office of Emergency Management plays a coordinating role to integrate the

efforts of the Incident Leadership Team, Incident Management Team, and the affected Colleges/Divisions. Incident Management Teams provide management of campus incidents and coordination of plans and personnel to maintain academic, research, and business operations.

A. Emergency Support Function (ESF) Personnel – support response to and management of campus emergency incidents.

B. Incident Management Team (IMT) – Team of personnel assembled to provide management of and support to campus emergency response, continuity, and recovery operations.

C. Incident Leadership Team (ILT) – Team of University executive level personnel assembled to provide strategic guidance and resources during and after emergency incidents.

D. President's Office – Determines policy and makes policy decisions as needed. Provide communications to and from the Board of Trustees. Provide strategic guidance for campus recovery.

More information regarding incident management personnel is maintained in the Emergency Operations Plan at www.emergency.cornell.edu.

5. Plan Activation and Communication

Operational disruptions that exceed the capabilities of the affected units may require the activation of additional management resources. Activation occurs when the President, Provost or Incident Leadership Team determines the need for management and oversight to restore critical infrastructure and essential services. The President, Provost or Incident Leadership Team may identify a Continuity and Recovery Group to coordinate continuity and recovery strategies and objectives.

Notification Process

Internal processes for notification of faculty, staff, and other stakeholders is outlined below in accordance with the Emergency Operations Plan, Emergency Support Function #16 – Emergency Communications.

A. Notification Procedures
The Incident Management Team representatives will collectively decide the best course of action to communicate pertinent information to department and division leaders, faculty, staff, students, the media, and other external stakeholders.

B. Communication with Media and External Stakeholders
University Relations will be responsible for managing all external communication to the media and other stakeholders. Any communication with the media from department leadership will be upon the recommendation of University Relations. University Relations will be responsible for providing communication guidance to department leadership, faculty, and staff following an emergency to disseminate a uniform message to students and the public.

6. Continuity of Operations Guiding Principles

Continuity of operations focuses on restoring essential services incorporating the following supportive principles:

1) Apply orders of succession and delegations of authority
2) Establish communication with supporting and supported organizations and stakeholders
3) Perform essential services (infrastructure, academic, and research) in order of prioritization
4) Manage human capital
5) Acquire space and equipment as necessary for essential services
6) Establish means for accessing vital records, files, and databases
7) Prepare for the reconstitution of essential services

To facilitate alignment with continuity of operations guiding principles, the University provides a robust, web-based software tool called C-COOP (www.coop.ehs.cornell.edu). The C-COOP tool provides a central planning location to identify unit essential services, recovery priorities, personnel and resource

needs, and continuity strategies for common disruptive events. Unit C-COOP plans support the development of alternate strategies and standard procedures for disruptive events.

As defined in the Emergency Operations Plan (EOP), all Emergency Support Functions (ESF) must maintain continuity plans within the C-COOP tool. All Divisions and major administrative units are recommended to maintain a continuity plan in C-COOP, and research and academic operations can also benefit from the clarity and visibility of using the C-COOP tool. Priorities and strategies identified in the C-COOP tool may require additional internal procedures and plans to execute continuity strategies.

A. Orders of Succession / Delegation of Authority

In order to maintain operations and appropriate decision making, colleges, divisions, and departments should define orders of succession for key positions when respective leadership is unable to execute their duties during or after an emergency.

The following table provides the University Order of Succession, as defined by University bylaws.

Table 6.1
University Order of Succession

Position	Incumbent	Successor 1	Successor 2	Successor 3
President	Provost	Secretary of the Corporation	Chief Financial Officer	Dean of Weill Medical College

Delegations of authority specify who is authorized to perform specific tasks or act on behalf of leadership personnel regarding a particular function. Succession pertains to overarching guidance; delegations are task-specific. Planning for delegations of authority involves the following:

- Identifying which authorities can and should be delegated to whom
- Describing the circumstances under which the delegation would be exercised, including when it would become effective and terminated
- Identifying limitations of the delegation
- Training designees to perform their essential services

B. Essential Services

Essential Services is defined as those services that:

- Are critical to the functioning of the University and the well-being of students, faculty, staff, and facilities
- Support specific mission essential service of each individual College/Division, unit, or department (e.g., research, teaching, feeding and housing students).

An essential service is one that must continue or resume quickly after a disruption of normal operations. These functions enable the university to provide vital services for students, faculty, staff, and visitors to support the teaching, research, and administrative operations of Cornell University. The level and manner of support needed to continue essential services is dependent on the nature of an event.

The university provides prioritization for the continuity and recovery of essential services. In the event of an emergency and subsequent recovery, essential services will be evaluated and prioritized based on the situation, and re-evaluated as necessary during the recovery or as the incident progresses. This serves as an operational guide to facilitate the allocation of resources in the event of a significant disruption, so that the most critical operations are recovered with priority.

Initial continuity priorities are identified as Emergency Support Functions (ESF) and have immediate recovery time objectives. These Emergency Support Functions are required for life safety, critical infrastructure, and core University operations, and carry a common goal of the timely restoration of the

academic learning environment. This prioritization is supported by a university business impact analysis and a university risk assessment matrix. See Table 6.2 for a list of Emergency Support Functions.

Table 6.2
Continuity of Emergency Support Functions (ESF)

Utilities	■ Potable Water ■ Electricity / Steam ■ Chilled Water
Cornell Police	■ Law Enforcement and Security ■ Telecommunication and Dispatch Services
Information Technology	■ Network & Data ■ Telephone ■ IT Services
Environmental Health & Safety	■ Fire and Rescue Services ■ Emergency Medical Services ■ Hazardous Materials Response
Office of Emergency Management	■ Emergency Management Operations
University Relations	■ Public Communications ■ Government & Community Relations
Campus Life Enterprise Services	■ Housing ■ Dining
University Health Services	■ Medical Services ■ Mental Health
Facilities and Campus Services	■ Transportation ■ Facilities Management
Procurement Services	■ Procurement Services
Center for Animal Resources & Education	■ Animal Care
Human Resources	■ Personnel & Volunteer Management
Dean of Students	■ Student & Community Crisis Support

C. Academic Continuity

A disruptive incident may affect the University's ability to offer instructional activities. Colleges are encouraged to identify essential services and supporting critical resources in order to develop academic continuity strategies, as described in the university Continuity of Operations Plan. In the event of a disruption, College leadership should work directly with the Provost and Incident Leadership Team to communicate priorities and resource needs. It is vital that each College know how to effectively respond to a disruption of their academic operations, as the inability to maintain functions puts the University at risk.

Alternative course delivery strategies, including distance-learning or self-study, should be considered where appropriate. In the event that an interruption renders it impossible to complete scheduled courses within normal parameters, the College must work closely with the Provost and Incident Leadership Team to address the interruption. If the disruption is expected to last less than four weeks, the College should utilize its continuity plan to restore operations as quickly as possible. If the interruption is expected longer than four weeks, the Provost will direct strategies for those extenuating circumstances.

Any suspension of classes will create numerous and significant issues, including how to handle course credit, grades, course-prerequisites and requirements for majors and graduation. Because authority over such academic matters is highly distributed to colleges, departments, and individual faculty members, rather than subject to central control, most such issues need to be addressed at the unit level. There may

be some overall university mandates or decisions regarding such matters, but such actions will generally need to be determined at that time in light of the specific nature and timing of the disruptive event. As a very general presumption, if the suspension of instruction occurs within the first three weeks of a term, the semester will be considered to be lost and will need to be repeated in its entirety. If the suspension of instruction occurs in the last three weeks of the term, the semester may be considered to be completed, subject to course-specific exceptions. If the suspension of instruction occurs in the interim period, the semester may be considered to be suspended rather than cancelled, with instruction resuming at an appropriate time following the end of the disruptive event

If a decision is made to suspend instruction, existing policies and processes will apply to students who voluntarily leave campus based on concerns about the disruptive event and to courses and programs that are cancelled based on similar concerns by the instructor. Based on the magnitude of such problems, the University and the units may ultimately decide retroactively to modify normal outcomes.

Following the Cornell University's decision to suspend instruction, there may be some instances in which individual faculty members may be able to continue instruction (e.g., distance learning, tutorials, supervised reading, and graduate seminars). Faculty are encouraged to make such efforts. However, no student who is unable to participate due to illness, lack of access to necessary technology, or any other reason may be disadvantaged. If some students are able to complete a class through such means, departments are responsible for providing an equivalent opportunity for non-participating students to complete the necessary coursework following the disruptive event.

D. Research Operations Continuity

Research activity is almost completely distributed on an individual faculty basis and is highly dependent on non-interchangeable labor (e.g., faculty, post-docs, graduate and undergraduate students, and technical staff) that may experience high and unpredictable levels of attrition. As a result, planning for either the maintenance of research or the temporary suspension of research is primarily the responsibility of the unit and/or individual faculty member. The University will continue to supply basic utilities support during the disruptive event as described in the University Emergency Operations Plan. All ongoing research must comply with appropriate environmental, health, and safety requirements mandated by local, state and federal authorities. If compliance is not possible for any reason, individual faculty members and units will be required to suspend research operations. The Office of the Vice Provost for Research is responsible for university-based research efforts and will help assist unit-based planning efforts as appropriate.

Each college or school is encouraged to identify research continuity priorities and strategies, including:

- Document research space and equipment assets
- Identify type of space needed, including office, wet lab, dry lab, specialized lab, and research centers
- Identify research equipment requirements, including specialized or unique equipment and its availability
- Document alternate space and equipment for research continuity
- Document research related resources that could be lost, including data and organisms
- Identify strategies for backup of research related resources
- Identify key college representatives to manage research continuity
- Develop inter-college agreements to share similar space when needed
- Develop continuity and recovery written plans and procedures

E. Human Resource Guidance

Essential Services are defined as those services that are critical to the functioning of the University and the well-being of students, faculty, staff, and facilities. Essential Services support mission essential functions of each individual college, division, unit, or department (e.g., research, teaching, feeding and housing students). Essential Services can be a regular and ongoing need (utilities services, safety and security, IT,

medical needs, dining and housing, research animals, plants, or equipment), or can be situation specific (peak periods of the year, academic semester, day of the week). It is Cornell University's goal to maintain these Essential Services even when the normal operating status of the University is modified or suspended. Any terms and conditions requiring notice to union leadership will be done in advance.

Employees who work in areas that have been pre-identified as essential service functions, or who have specialized training that is required to do the work, and/or have assignments directly related to the support of vital operations, will be required to report to work as scheduled, and may be called to work when not scheduled. Employees from throughout the University may be reassigned to provide support in these areas to the extent they are qualified and available.

Cross-training / Reassignment

Unit continuity plans should identify essential functions and job roles and plan for cross-training of employees to assume these critical roles in the event of an disruptive event. It is likely that additional essential roles will be identified as a disruptive event evolves. Some units (e.g., student services, health services, communications) will face extraordinary demand, and will look to other units for additional support.

Cross-training must be initiated at the unit level. Staff members may be reassigned to essential functions in anticipation of a disruptive event or as needs arise either within or outside the unit as a disruptive event evolves.

When employees are reassigned, all appropriate training and safety regulations will apply. The university will educate employees on the proper use of safety equipment necessary for them to perform their designated role.

Employees who have specialized training not routinely used in their jobs (e.g., EMTs, CPR, etc.) are encouraged to self-identify and may be assigned to a role requiring those skills.

Pay Practices

University Payroll will continue compensation as per regular payroll schedules. Factors such as the number of employees needed to work, the length of the event, the type of work performed, and the extent of the crisis will be used to determine the appropriate means for compensating and recognizing employees.

As a mitigation strategy, the university may change its operating status. In the event of a change in operating status, the University will explore ways to assist employees with the financial burden of being out of work through no fault of their own taking into account factors such as the length of the event and the extent of the crisis. There will be a retroactive review of work and pay in accordance with applicable pay policies or negotiated agreements when the university returns to full operations.

Employees who perform essential services on-site, either as part of their normal job or through a reassignment, will retain their base rate of pay and will be provided additional compensation to be determined.

Departments and principal investigators should work with funding agencies to determine how grant-funded employees will be paid in the event of a disruptive emergency.

Flexible Work Options (remote work)

Units should identify which employees can conduct work from home or other remote locations. Units should take into consideration whether laptops or employees' own computers will be used, whether there are available internet and VPN connections, and what mechanisms are available to protect proprietary information and compliance with sensitive/confidential data policies. Individuals not normally eligible for

remote work due to position responsibilities may be eligible in emergency situations when agreed upon with the supervisor.

Leave and Return to Work Authorization

Standard operating procedure during leaves such as Family Medical Leave and Short-Term Disability normally requires documentation to substantiate such leaves and return to work. However, the university recognizes the need to be flexible with deadlines for the forms in a disruptive event. Units must make a best effort to keep leave and pay records and to reconstruct them where necessary in order to make adjustments to pay and employment status when the university returns to full operations.

Leave Accruals

Employees who were not scheduled to work during a change in operating status due to time off (e.g. vacation, health and personal leave) that was pre-approved and unrelated to the anticipated or actual public health emergency will be charged leave time regardless of the operating status of the University.

Sick Employees

It will be important that ill employees stay home.

Personal Emergency Plans

During a disruptive event, employees should know both the magnitude of what can and what actions you can take to help lessen the impact of an event on you and your family. Employees should utilize the personal emergency plans they have developed for themselves and their families. Plan guidelines are available on the EHS web site and from local Red Cross offices.

F. Continuity Locations

Each college or division recognizes that normal operations locations may be disrupted and there may be a need to perform essential services at a continuity location. The potential costs for securing a continuity location when needed can be significant. Due to the criticality of the continuity location and the possible costs associated with that site, it is important that the affected Colleges and Divisions partner with the Incident Management Team, the Office of Space Planning, and the Registrar's Office, to evaluate the viability of continuity location facilities.

In the event that typical work space is not available, the affected unit should:

□ Postpone activity aligned with the established recovery time objective; wait for space to be restored
□ Utilize alternate work space locations pre-established in the unit continuity plan
□ Utilize alternate work space controlled by the unit
□ Utilize alternate work space controlled by the affected College/Division
□ Utilize alternate work space controlled by the University (partner with IPP Facilities Management)

The following considerations should be made when planning for continuity locations:

□ Pool resources among colleges/divisions to acquire space for a continuity location.
□ Co-locate and combine resources with another department to increase efficiency.
□ Essential services are prioritized at the continuity location.
□ Provide virtual office option (telecommuting).

In support of continuity location planning, Cornell University maintains detailed descriptions in the Facilities Services Facilities Database, including:

□ Building floor plans
□ Construction date
□ Occupancy date
□ Number of floors
□ Description of construction
□ Total area in square feet
□ Total volume and usable volume
□ Description of HVAC system
□ Summary of space types
□ Description of the utilities

G. Critical Resources

Critical resources are the staff, equipment, and systems required to support essential services, and identified in the College/Division C-COOP continuity plans. During the planning process, key personnel evaluate each of the essential services and list the critical resources required to re-establish each function, including unique space and specialized equipment.

H. Vital Files, Records, and Databases

Vital records are necessary to carry out essential services, and if damaged or destroyed, would disrupt operations and information flow, and require replacement or re-creation at considerable expense or inconvenience. Content, not media, determines their criticality. The following maintenance strategy has been established for colleges and divisions to provide guidance for records maintenance.

Table 6.3
Vital Records Maintenance Strategy

Strategy	Tasks
Develop a process.	■ If a vital records program is in place, detail how to assess its effectiveness. ■ If there is no program, outline the steps necessary to establish and maintain a vital records program.
Identify vital records.	■ Identify records that support the performance of essential services. ■ Identify sensitive records that may have security requirements. ■ Utilize the C-COOP planning tool to associate essential services with their required vital records.
Review protection needs for each record.	■ Classify records according to categories to simplify this process. ■ Group similar data types that have similar protection needs. ■ Develop a protection, preservation, and continuity sub-plan.

I. Critical Business Applications and Technology Resources

During the planning process, each college and division must identify the business applications and technology resources required to support essential services. Access to critical information systems used to accomplish essential services during normal operations from the primary facility must be available at the continuity location. For these systems to be accessible, connectivity must be in place at the continuity location and system servers should be backed up on a frequent basis at more than one location. Each college or division will coordinate with CIT on the specific technical support needed during Continuity of Operations Plan activation.

Cornell University maintains a network security plan to establish conditions for use of and requirements for appropriate security for university computer and network resources. This policy provides guidance on how to properly maintain secure records as part of a records maintenance strategy. CIT also maintains a disaster continuity and contingency plan that supports the central CIT service applications.

J. Financial Guidance

A disruptive incident may result in significant financial challenges for the university. The financial risks and exposures will vary significantly depending on the timing and extent to which the university progresses through the disruptive event. Major financial exposures include loss of tuition, sponsored program, and enterprise revenues. These losses may drive significant increases in other costs and may be ongoing.

Although estimates can be developed to evaluate the potential financial impact, actual available resources cannot be estimated in advance of the disruptive event. Financial resources will be managed

prudently to support Cornell University's disruptive event planning principles while ensuring the long-term financial health of the university.

Individual operating units may face out-of-the-ordinary expenses in preparation for a disruptive event. Such costs will generally be considered a financial responsibility of the operating unit, to be funded out of current available resources including unit reserves. For extraordinary expenses which cannot reasonably be funded through unit resources or which should be considered for central university funding to ensure important health and safety standards are met, funding may be requested as part of the annual budget process to the university Operating Plans Committee.

During a disruptive incident, operating units must consider the financial implications of any unit-specific decisions within the framework of the operating unit's current resources and reserves. If alternative funding arrangements are determined to be necessary, unit leaders will make requests (with pertinent justification) to their Vice President. Some funding strategies may also need determination after the incident is over. The University Incident Management Team will advise the Incident Leadership Team as needed.

7. Reconstitution and Recovery

Reconstitution includes the process of returning essential services from the response and continuity environment back to the normal working environment. The reconstitution process begins as soon as the Continuity of Operations Plan is executed and all essential services have been restored.

Implementation actions associated with reconstitution include:

- Instructing personnel on how to demobilize resources and resume normal operations
- Supervising an orderly return to the normal operating facility, a move to another temporary facility, or a move to a new permanent operating facility
- Verifying that all systems, communications, and other required capabilities are available to allow operations of essential services at the new or restored facility
- Conducting an after-action review of the effectiveness of the Public Health Emergency Plan, identifying areas of improvement, documenting identified areas of improvement in a corrective action plan, and developing a remedial action plan as soon as possible after reconstitution

Through these actions, we strive to improve the efficiency and effectiveness of recovery operations across the entire university to make for a more resilient community.

Recovery is an ongoing process. The type and breadth of recovery activities will vary based on the nature and scope of the public health emergency. However, the goal of the recovery phase is to restore the academic learning environment, including physical and structural recovery, business recovery, and psychological and emotional recovery.

8. Appendices

A. Procedures for Reporting an Emergency

B. Incident Management Structure

C. Emergency Support Functions Master Index

D. Authorities and References

E. Definitions

Appendix A: Procedures for Reporting an Emergency

Ithaca Campus

In the event of an emergency notify the Cornell 911 Center, operated by Cornell Police, by one of these methods:

- Call 911 from any campus phone
- Call 607-255-1111 from a cellular or off-campus phone
- Use a Blue Light Telephone or other campus Emergency Telephone
- In case of fire, activate the building fire alarm using a manual fire alarm pull-station

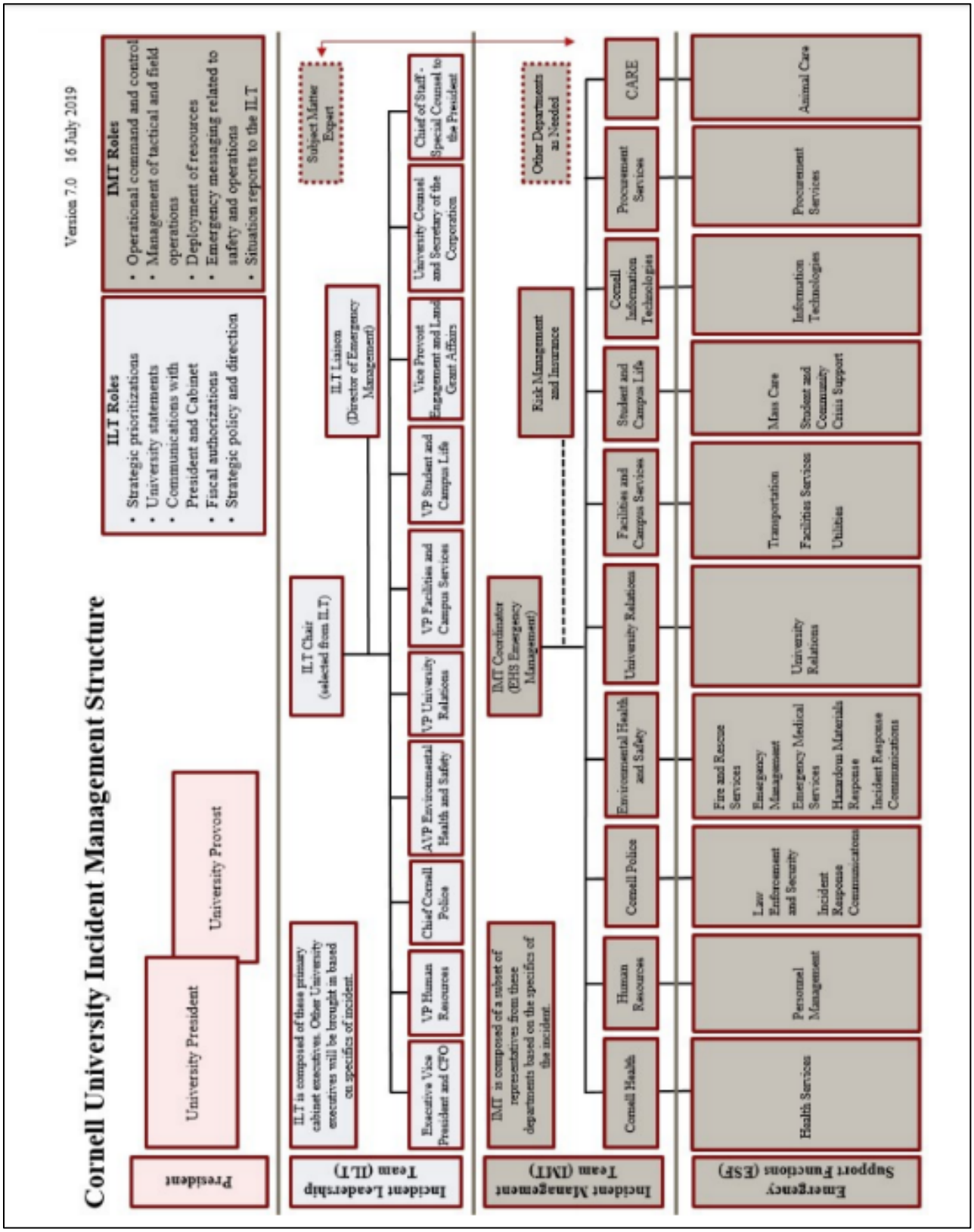
For further information on actions to take in an emergency refer to the Cornell University Emergency Action Guide at the Cornell University Emergency Program Web Page http://emergency.cornell.edu

Geneva New York Agricultural Experiment Station

In the event of a life threatening emergency call 9-911 from any campus telephone or 911 from a cellular telephone. After calling 911 call 315-787-2499 to notify station staff of the incident.

In the event of a non-life threatening incident call 315-787-2499 to notify station personnel.

Appendix B: Incident Management Structure



Appendix C: Authorities and References

This plan is promulgated in compliance with Cornell University Policy 8.3: Emergency Planning under the authority of the Executive Vice President/CFO and is managed by the Department of Environmental Health and Safety under the direction of the Associate Vice President Environmental Health and Safety. The following authorities, standards, and references are used in the development and implementation of this plan.

Federal Authorities

- Presidential Policy Directive/PPD-8: National Preparedness
- Presidential Policy Directive/PPD-21: Critical Infrastructure Security and Resilience
- Homeland Security Presidential Directive/HSPD-5: Management of Domestic Incidents
- Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, as amended
- Code of Federal Regulations (CFR), Title 44. Emergency Management Assistance
- Title III of the Superfund Amendments and Reauthorization Act of 1986 (SARA), PL 99-499 as amended.
- Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act (Clery Act), 20 USC § 1092(f)
- Occupational Safety and Health Administration
    - OSHA 29 CFR 1910.38 Emergency Action Plans
    - OSHA 29 CFR 1910.120 Hazardous Waste Operations and Emergency Response
    - OSHA 29 CFR 1910.146 Permit-Required Confined Spaces
    - OSHA 29 CFR 1910.151 Medical Services and First Aid
    - OSHA 29 CFR 1910.156 Fire Brigades

New York State Authorities

- NYS Executive Law Article 2-B
- NYS Executive Order #26.1 (adoption of NIMS)
- NYS Uniform Fire Prevention and Building Code

Standards and References used for guidance

- National Preparedness System
- State University of New York (SUNY) Emergency Response Plan Requirements Procedure
- National Fire Protection Agency (NFPA) 1600 Standard on Disaster/Emergency Management and Business Continuity Programs;
- Emergency Management Accreditation Program (EMAP) Emergency Management Standard
- U.S. Department of Education Guide for Developing High-Quality Emergency Operations Plans for Institutions of Higher Education
- U.S. Department of Education Readiness and Emergency Management for Schools Technical Assistance Center (REMS TA)
- FEMA Comprehensive Preparedness Guide 101 (CPG 101): Developing and Maintaining Emergency Operations Plans
- FEMA Comprehensive Preparedness Guide 201 (CPG 201): Threat and Hazard Identification and Risk Assessment Guide

Appendix D: Definitions

Activation – When all or a portion of the plan has been put into motion.

Application Continuity – The component of disaster continuity that deals specifically with the restoration of software systems and data after the processing platform has been restored and replaced. Similar term: business system continuity.

Communications Continuity – The component of disaster continuity that deals with the restoration or rerouting of a unit's telecommunications network, or its components, in the event of loss. Similar terms: telecommunications continuity, data communications continuity

Continuity Location – A location, other than the normal facility, used to process data and/or conduct essential services in the event of a disaster.

Continuity of Operations (COOP) – The activities of individual units and agencies and their sub-components to continue their essential services under all circumstances. This includes plans and procedures that delineate essential services, specify succession to office and the emergency delegations of authority, provide for the safekeeping of vital records and databases; identify alternate operating facilities, provide for interoperable communications, and validate the capability through tests, training, and exercises.

Continuity of Operations Coordinator – The COOP coordinator may be responsible for overall continuity of a unit(s). This person also provides overall project management to address the quality and timely delivery of the business impact analysis, vulnerability/risk analysis, and Continuity of Operations Plan.

Continuity of Operations (COOP) Plan – A plan to ensure the resumption of time-sensitive operations and services in case of emergencies.

Continuity Strategies – Alternative operating method (that is, platform location, etc.) for facilities and system operations in the event of a disaster.

Critical Equipment – Critical equipment includes specific equipment required to reestablish a mission essential function.

Delegations of Authority –specifies who is authorized to act on behalf of the department head and other COOP critical officials for specific purposes.

Disaster – Any event that limits an organization's ability to provide critical business functions for some predetermined period. Similar terms: business interruption, outage, and catastrophe.

Emergency Preparedness – The discipline that addresses an organization's readiness to respond to an emergency in a coordinated, timely, and effective manner.

Essential Services - Services that maintain security, safety, and critical operations during emergency and continuity conditions.

File Continuity – The restoration of computer files using backup copies.

Key Personnel – Personnel designated by their unit as critical to the resumption of essential services and services.

Lines of Succession – Provisions for the assumption of senior and other key positions during an emergency in the event that any of those officials are unavailable to execute their legal and/or essential duties.

National Incident Management System (NIMS) – NIMS provides a consistent nationwide template to enable federal, state, local, tribal governments, private sector, and nongovernmental organizations to work together effectively and efficiently to prepare for, prevent, respond to, and recover from domestic incidents, regardless of cause, size, or complexity, including acts of catastrophic terrorism.

Record Retention – Storing historical documentation for a set period, usually mandated by state and federal law or the Internal Revenue Service.

Recovery – Recovery, in this document, includes all types of emergency actions dedicated to the continued protection of the public or to promoting the resumption of normal activities in the affected area.

Recovery Time Objective – The period of time that a function can be suspended before its operational impact is unacceptable.

Response – Those activities and programs designed to address the immediate and short-term effects of the onset of an emergency or disaster.

Risk Assessment/Analysis – The process of identifying and minimizing the exposures to certain threats. Similar terms: risk assessment, impact assessment, corporate loss analysis, risk identification, exposure analysis, and exposure assessment.

Succession– A list that specifies, by position, who will automatically fill a position once it is vacated.

Vital Records, Files, and Databases – Records, files, documents, or databases, which, if damaged or destroyed, would cause considerable inconvenience and/or require replacement or re-creation at considerable expense. For legal, regulatory, or operational reasons, these records cannot be irretrievably lost or damaged without materially impairing the organization's ability to conduct business.

Appendix E: Plan Review and Revision History

Summary of Changes	Date	Completed By
Full plan review and update to version 2.0 • Added Authorities and References and Plan Review and Revision History Appendices • Added information for non-Ithaca based campuses. • Updated Cornell University Incident Management Structure and IMT membership. • Changed "Gannet Health Services" to "Cornell Health." • Updated "essesential services" description to align with weather policy.	7/24/2018	N.Hunter, OEM
Minor update to version 2.1 • Alignment with Emergency Operations Plan updates (ESF and organization chart).	9/17/2019	N.Hunter, OEM
Full plan review and update to version 3.0 • Alignment with Public Health Emergency Plan, including Human Resource Guiding Principles, and Academic and Research Continuity.	3/25/2020	N.Hunter, OEM

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